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To: U.S. Patent and Trademark Office

Date: June 28, 2005

Attention:
Examiner A. Azad, Art Unit 2654

Appl. No. 09/924,420; Filed: August 7, 2001

From: Nicole D. Dretar, Esquire *ND*

For: Voice User Interface With Personality

Our Ref: 2222.0860002

Pages (including cover sheet): 57

Your Reference:

Fax No: 703-872-9306 cc: (571) 273-7599

Our Reference: 2222.0860002

Message

Transmitted herewith for appropriate action are the following documents:

1. Credit Card Payment Form (PTO-2038) in the amount of \$180.00;
2. Fee Transmittal Form (PTO/SB/17);
3. Supplemental Information Disclosure Statement; and
4. Form PTO-1449 listing seven (7) documents and accompanied by three (3) documents.

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Matthew J. Dowd
Katrina Yufan Pei Quach
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Of Counsel
Kenneth C. Bass III
Evan R. Smith
Marvin C. Guthrie

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June 28, 2005

WRITER'S DIRECT NUMBER:
(202) 772-8898

INTERNET ADDRESS:
NDRBTAR@SKGF.COM

Via Facsimile

Commissioner for Patents
PO Box 1450
Alexandria, VA 22313-1450

Art Unit 2654
Mail Stop Amendment

Re: U.S. Utility Patent Application
Application No. 09/924,420; Filed: August 7, 2001
For: Voice User Interface With Personality
Inventors: Surace *et al.*
Our Ref: 2222.0860002

Sir:

Transmitted herewith for appropriate action are the following documents:

1. Credit Card Payment Form (PTO-2038) in the amount of \$180.00 to cover an Information Disclosure Statement submission;
2. Fee Transmittal Form (PTO/SB/17);
3. Supplemental Information Disclosure Statement; and
4. Form PTO-1449 listing seven (7) documents and accompanied by three (3) documents.

In the event that extensions of time are necessary to prevent abandonment of this patent application, then such extensions of time are hereby petitioned. The U.S. Patent and Trademark Office is hereby authorized to charge any fee deficiency, or credit any overpayment, to our Deposit Account No. 19-0036.

Respectfully submitted,

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.

Nicole D. Dretar
Attorney for Applicants
Registration No. 54,076

NDD/sjc
415437_1.DOC

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Equivalent to Form
PTO/SB/17 (12-04)

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Effective on 12/08/2004.

Fees pursuant to the Consolidated Appropriations Act, 2005 (H.R. 4818).

FEE TRANSMITTAL
For FY 2005☐ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$) \$180.00

Complete if Known

Application Number	09/924,420
Filing Date	August 7, 2001
First Named Inventor	Kevin J. SURACE
Examiner Name	Abul K. Azad
Art Unit	2654
Attorney Docket No.	2222.0860002

METHOD OF PAYMENT (check all that apply)

☐ Check ☒ Credit Card ☐ Money Order ☐ None ☐ Other (please identify): _____

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☐ Charge fee(s) indicated below ☐ Charge fee(s) indicated below, except for the filing fee

☒ Charge any additional fee(s) or underpayments of fee(s) under 37 CFR 1.16 and 1.17 ☒ Credit any overpayments

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FEE CALCULATION**1. BASIC FILING, SEARCH, AND EXAMINATION FEES**

Application Type	FILING FEES		SEARCH FEES		EXAMINATION FEES		Fees Paid (\$)
	Fee (\$)	Small Entity Fee (\$)	Fee (\$)	Small Entity Fee (\$)	Fee (\$)	Small Entity Fee (\$)	
Utility	300	150	500	250	200	100	
Design	200	100	100	50	130	65	
Plant	200	100	300	150	160	80	
Reissue	300	150	500	250	600	300	
Provisional	200	100	0	0	0	0	

2. EXCESS CLAIM FEES

Fees Description	Fee (\$)	Small Entity Fee (\$)
Each claim over 20 or, for Reissues, each claim over 20 and more than in the original patent	50	25
Each independent claim over 3 or, for Reissues, each independent claim more than in the original patent	200	100
Multiple dependent claims	360	180

Total Claims **Extra Claims** **Fee (\$)** **Fees Paid (\$)** **Multiple Dependent Claims**

- 20 or HP = _____ x _____ = _____ **Fee (\$)** **Fees Paid (\$)**

HP = highest number of total claims paid for, if greater than 20

Indep. Claims **Extra Claims** **Fee (\$)** **Fees Paid (\$)**

- 3 or HP = _____ x _____ = _____

HP = highest number of independent claims paid for, if greater than 3

3. APPLICATION SIZE FEE

If the specification and drawings exceed 100 sheets of paper, the application size fee due is \$250 (\$125 for small entity) for each additional 50 sheets or fraction thereof. See 35 U.S.C. 41(a)(1)(G) and 37 CFR 1.16(s).

Total Sheets **Extra Sheets** **Number of each additional 50 or fraction thereof** **Fee (\$)** **Fees Paid (\$)**

- 100 = _____ / 50 = _____ (round up to a whole number) x _____ = _____

4. OTHER FEE(S)

Non-English Specification, \$130 fee (no small entity discount)

Other: Information Disclosure Statement submission fee

\$180.00

SUBMITTED BY

Signature	<i>Nicole D. Dretter</i>	Registration No. (Attorney/Agent)	54,076	Telephone	(202) 371-2600
Name (Print/Type)	Nicole D. Dretter	Date	06-28-2005		

This collection of information is required by 37 CFR 1.136. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 36 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 30 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

SURACE *et al.*

Appl. No.: 09/924,420

Filed: August 7, 2001

For: Voice User Interface With
Personality

Confirmation No.: 3741

Art Unit: 2654

Examiner: Azad, A.

Atty. Docket: 2222.0860002

Supplemental Information Disclosure Statement

Commissioner for Patents
PO Box 1450
Alexandria, VA 22313-1450

Sir:

Listed on accompanying Form PTO-1449 are documents that may be considered material to the examination of this application, in compliance with the duty of disclosure requirements of 37 C.F.R. §§ 1.56, 1.97 and 1.98.

Applicants have listed publication dates on the attached PTO-1449 based on information presently available to the undersigned. However, the listed publication dates should not be construed as an admission that the information was actually published on the date indicated.

Applicants reserve the right to establish the patentability of the claimed invention over any of the information provided herewith, and/or to prove that this information may not be prior art, and/or to prove that this information may not be enabling for the teachings purportedly offered.

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This statement should not be construed as a representation that a search has been made, or that information more material to the examination of the present patent

- 2 -

SURACE *et al.*
Appl. No. 09/924,420

application does not exist. The Examiner is specifically requested not to rely solely on the material submitted herewith.

Applicants have checked the appropriate boxes below.

- ☐ 1. Statement under 37 C.F.R. 1.704(d). Each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart application and this communication was not received by any individual designated in 37 C.F.R. § 1.56(c) more than thirty days prior to the filing of this information disclosure statement.
- ☐ 2. Filing under 37 C.F.R. § 1.97(b). This Information Disclosure Statement is being filed within three months of the date of filing of a national application other than a continued prosecution application (CPA), OR within three months of the date of entry of the national stage as set forth in 37 C.F.R. § 1.491 in an international application, OR before the mailing date of a first Office Action on the merits OR before the mailing of a first Office Action after the filing of a request for continued examination under 37 C.F.R. § 1.114. No statement or fee is required.
- ☒ 3. Filing under 37 C.F.R. § 1.97(c). This Information Disclosure Statement is being filed more than three months after the U.S. filing date AND after the mailing date of the first Office Action on the merits, but before the mailing date of a Final Rejection, or Notice of Allowance, or an action that otherwise closes prosecution in the application.
- ☐ a. Statement under 37 C.F.R. § 1.97(e)(1). I hereby state that each item of information contained in this Information Disclosure Statement was first

- 3 -

SURACE *et al.*
Appl. No. 09/924,420

cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. § 1.97(e)(1).

- ☐ b. Statement under 37 C.F.R. § 1.97(e)(2). I hereby state that no item of information in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to my knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. § 1.97(e)(2).

- ☒ c. Attached is our PTO-2038 Credit Card Payment Form in the amount of \$180.00 in payment of the fee under 37 C.F.R. § 1.17(p).

- ☐ 4. Filing under 37 C.F.R. § 1.97(d) This Information Disclosure Statement is being filed more than three months after the U.S. filing date and after the mailing date of a Final Rejection or Notice of Allowance, but before payment of the Issue Fee. Enclosed find our PTO-2038 Credit Card Payment Form in the amount of \$_____ in payment of the fee under 37 C.F.R. § 1.17(p); in addition:

- ☐ a. Statement under 37 C.F.R. § 1.97(e)(1). I hereby state that each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. § 1.97(e)(1).

- 4 -

SURACE *et al.*
Appl. No. 09/924,420

- ☐ b. Statement under 37 C.F.R. § 1.97(e)(2). I hereby state that no item of information in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to my knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. § 1.97(e)(2).
- ☐ 5. The document(s) was/were cited in a search report by a foreign patent office in a counterpart foreign application. Submission of an English language version of the search report that indicates the degree of relevance found by the foreign office is provided in satisfaction of the requirement for a concise explanation of relevance. 1138 OG 37, 38.
- ☐ 6. A concise explanation of the relevance of the non-English language document appears below:
- ☒ 7. In accordance with 37 C.F.R. 1.98(a)(2), copies of the 'U.S. Patent Documents' cited on the attached Form PTO-1449 (AA1, AB1, AC1, and AD1) are not enclosed. Copies of the 'Other Documents' cited on the attached Form PTO-1449 (AR1, AS1, and AT1) are enclosed.
- ☐ 8. Copies of the documents were cited by or submitted to the Office in an IDS that complies with 37 C.F.R. § 1.98(a)-(c) in Application No. _____, filed _____, which is relied upon for an earlier filing date under 35 U.S.C. § 120. Thus, copies of these documents are not attached. 37 C.F.R. § 1.98(d).

FORM PTO-1449 INFORMATION DISCLOSURE STATEMENT				ATTY. DOCKET NO. 2222.0860002		APPLICATION NO. 09/924,420		Page 1 of 1
				FIRST NAMED INVENTOR SURACE et al.				
				FILING DATE August 7, 2001		ART UNIT 2654		
U.S. PATENT DOCUMENTS								
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB-CLASS	FILING DATE	
	AA1	5,652,789	07/1997	Miner et al.				
	AB1	5,682,469	10/1997	Linnett et al.				
	AC1	5,751,793	10/1997	Davies et al.				
	AD1	6,112,177	11/2000	Cosatto et al.				
	AE1							
	AF1							
	AG1							
	AH1							
	AI1							
	AJ1							
	AK1							
FOREIGN PATENT DOCUMENTS								
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB-CLASS	TRANSLATION	
	AL1						Yes No	
	AM1						Yes No	
	AN1						Yes No	
	AO1						Yes No	
	AP1						Yes No	
OTHER (Including Author, Title, Date, Pertinent Pages, etc.)								
	AR	1	Reeves, B. and Nass, C., <i>The Media Equation: How People Treat Computers, Television, and New Media Like Real People and Places</i> , pages 89-108, ISBN No. 1-57586-052-X, CSLI Publications (1996).					
	AS	1	James, F., AHA: Audio HTML Access, printed from http://www-pcd.stanford.edu/~fjames/aha/www8/PAPER296.html .					
	AT	1	James, F., Presenting HTML Structure in Audio: User Satisfaction with Audio Hypertext, printed from http://www-pcd.stanford.edu/~fjames/reports/pilot-tr/techrep-pilot.html on April 14, 1997.					
EXAMINER					DATE CONSIDERED			
EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.								